Management Instruction
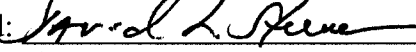
Policy Statement 2013.2
Policy Area: Information Technology
Effective Date: 06/20/2002
Approved: *[signature]*
David Stevenson, Associate Director,
Office of Information Technology
Chief Technology Officer (Acting)

COURT SERVICES AND OFFENDER SUPERVISION AGENCY (CSOSA) IT PROCUREMENT PROCESS

I. COVERAGE

This policy covers all permanent, temporary, and part-time Court Services and Offender Supervision Agency (CSOSA), Office of Information Technology employees, as well as interns, and contractors who request procurement of products and services. The term "employee" as used in this policy covers all of these categories.

II. BACKGROUND

The Office of Information Technology (IT) is responsible for reviewing, approving and submitting procurements for IT products and services. IT Budget and Inventory Management is responsible for processing and receiving all orders being purchased by the Office of Information Technology. IT Budget and Inventory Management acts as the liaison between IT and Procurement offices. Below are the related roles and responsibilities for procurement processing:

A) Requestor
- Must be an IT Manager or designee
- Initiates the procurement paperwork
- Knowledgeable of the product or service being requested
- Does not act as a procurement agent for the government
- Authority to collect vendor pricing
- Prepare Statements of Work
- Ensure that products are compliant with the CSOSA IT Architecture and are Section 508 compliant. Obtain a Section 508 Certification Statement from the vendor

B) IT Budget and Inventory Management
- Tracks and maintains IT budget by project
- Obtains and manages documents regarding to procurement
- Liaison between Office of Information Technology and CSOSA Office of Procurement and Office of Financial Management (OFM)
- Coordinates approval of invoices of $100,000.00 or less
- Working with IT managers to initiate, maintain, track and develop necessary paperwork for software or hardware maintenance contract renewals
- Processes Office of Information Technology credit card orders
- Tracks expenditures of contracts against the obligated funds
- Reconcile IT Budget Tracking system with Agency Financial Tracking system

C) Chief Technology Officer
- Manages IT Budget
- Final IT office decision authority for procurements over $2500.00
- Authorizes payment of invoices exceeding $100,000.
- Authorizes renewal of software or hardware maintenance contracts

D) CSOSA Office of Procurement
- Collects vendor's quotes and pricing
- Final authority for approval or disapproval of procurements
- Authority to procure items or services on behalf of CSOSA (procurement agents)
- Works with the Office of Financial Management to pledge funds, sign the procurement request, create the funding obligation document
- Budget office executes procurement action and notifies IT Budget and Inventory Management

III. POLICY

This policy establishes the procedures for the procurement of products and services. The IT credit card will be used for purchases of $2500.00 or less and items of over $2500.00 will use the requisition process. These processes are outlined in this procedure.

IV. PROCEDURES

A) Credit Card Process ($2500.00 or under)

i) The requestor will fill-out an electronic copy of the CSOSA Credit Card Transaction Form (**http://csosaweb/Forms/MC_transform1.pdf**) and submit it to IT Budget Inventory Management via e-mail.   The following information should be provided:
- a) Vendor Name
- b) Vendor Address
- c) Item Description (Include any part or item numbers and product documentation)
- d) Quantity
- e) Price (Provide vendor estimates, quotes or preferred vendor information. This information is not required but could delay the procurement process up to thirty days)
- f) Statement of Work attached (if required)
- g) Requestor
- h) IT Manager initial's or e-mail authorizing the procurement

ii) IT Budget and Inventory Management will process the credit card request
- a) Verify availability of funds using the ITS Budget Tracking System
- b) Collect vendor quotes and finalize the pricing (if not submitted with paperwork)
- c) Review request with the Planning and Policy Unit Manager

d) Submit the request to the Chief Technology Officer (CTO)
e) Collect the required signatures and complete the CSOSA Credit Card Transaction Form
f) Procure the item (s)
g) Update the IT Budget Tracking System
h) File procurement paperwork
i) Notify the requestor of the expected date of arrival via e-mail
j) Notify requestor of order/service arrival/activation via e-mail
k) Work with the requestor to inspect/verify the order against the procurement request and have the requestor sign the packing slip or the CSOSA Credit Card Transaction Form if the order is complete.
l) Retain the packing slips or other documentation in the procurement file
m) Catalog, bar code and add the Purchase Order and Invoice Number for items using the Inventory Tracking system
n) Log invoices into the budget tracking system
o) Copy the certified invoice, place a copy in the credit card file
p) Reconcile the monthly credit card statement.

B) **Requisition, Procurement Request for Equipment Supplies or Services (over $2,500.00)**

i) The requestor will fill-out an electronic copy of the Requisition, Procurement Request for Equipment Supplies or Services via the CSOSA Procurement application (CAPS)

a) Item Number
b) Quantity
c) Price (Provide three (3) vendor estimates, quotes and preferred vendor information. This information is not required but could delay the procurement process up to thirty days). **Electronic copies of the price quotes must be attached to the request in CAPS. Hard copy price quotes must have the requisition number annotated on the copy and the quote must be sent to Kathleen Ferte.**
d) Description of the Item (Include any vendor information or part numbers)
e) Justification/Reason
f) Statement of Work (if required)
g) Sole Source Procurement (Request a specific vendor) must have a detailed justification explaining and documenting why no other vendor can provide this product or service

ii) The requestor will send an e-mail to ITBudget@csosa.gov with the requisition number, requesting an IT budget information be entered.

iii) IT Budget and Inventory Management will open the requisition and assign an IT tracking number and enter the IT Budget information. The IT Budget Tracking Sheet will be updated.

iv) IT Budget and Inventory Management will send the requestor an e-mail once the budget information has been entered.

v) The requestor will route the request via CAPS to the CTO, OFM Budget (Denise Elliot), Procurement (Kathleen Ferte). Each office will review and approve or disapprove the request. The request will route automatically to the next office.

vi) Procurement will formulate the procurement package by printing out the requisition and all attached documents.

vii) The requestor can monitor the status of the procurement via the CAPS system.

viii) A hard copy of the finalized procurement paperwork is sent from Procurement to IT Budget and the requestor.

ix) IT Budget will file the finalized procurement paperwork

x) IT Budget and Inventory Management will:

    a) Work as the liaison between IT and CSOSA Office of Procurement and OFM

    b) Notify requestor of order/service arrival/activation via e-mail

    c) Work with the requestor to inspect/verify the order against the procurement request and have the requestor sign the packing slip or procurement form.

    d) Retain the packing slips or other documentation in the procurement file

    e) Catalog, bar code and add the Purchase Order and Invoice Number, etc. for items using the Inventory Tracking system.

    f) Copy the certified invoice, place a copy in the procurement file and forward the invoice to the Office of Financial Management for payment

    g) Once the procurement has been completed, secure a copy of the purchase order and add the purchase order to the procurement file.

    h) Closeout requisition paperwork

C) Training Request

i) The requestor will fill-out a Training Request Form (SF-182 http://csosaweb/Forms/sf182.pdf) and a the Credit Card Form (Section IV.a). If travel is required see (Section IV. d)

ii) Obtain the Immediate Supervisor and CTO signature

iii) Obtain the Director of Training's signature

iv) Provide the forms to IT Budget and Inventory Management

v) IT Budget Inventory Management verifies that the request has been processed.

vi) IT Budget and Inventory Management notifies the requestor of the status, provides an official stamped copy of the training request.

D) Travel Request

vii) The requestor will fill-out a U.S. Department of Justice Travel Authorization/Advance Form http://csosaweb/Forms/travel_auth_adv.pdf prior to going on travel (non-local travel)

    a) Obtain the Immediate Supervisor and CTO initials

    b) Provide the forms to IT Budget and Inventory Management

    c) IT Budget Inventory Management notifies the requestor of the status and provides any additional information

      d) After the advance has been approved, the requestor will make travel and lodging reservations (within the government Per Diem Rates http://www.policyworks.gov/org/main/mt/homepage/mtt/perdiem/travel.shtm)

      e) Advances or reimbursements will be provided by the Office of Financial Management

      f) A Travel Voucher must be filled out and submitted within 2 working days upon return of non-local travel http://csosaweb/Forms/travel_vouch_sum.pdf

viii) A SF1164 Claim for Reimbursement of Expenditures on Official Business (http://csosaweb/Forms/sf1164.pdf **)** must be filled out for local travel within 2 working days upon return

      a) Obtain the Immediate Supervisor and CTO initials

      b) Provide the forms to IT Budget and Inventory Management

      c) Reimbursement will be provided by Finance

E) IT Budget Reconciliation Process

i) IT Budget and Inventory Management will verify that all charges on the IT Credit Card statement and the Finance system are valid and accurate. These charges will be verified against:

- The IT Credit Card Transaction Forms
- IT Purchase Orders
- IT Budget Tracking System
- The Agency Budget Tracking System (SOF)
- Procurement System (CAPS)

ii) Process all returns and refunds

iii) The Planning and Policy Unit Manager will review the Credit Card Statement before it is submitted to the Office of Procurement

iv) IT Budget will work with OFM to reconcile any discrepancies

v) Issues that cannot be reconciled will be escalated to the Planning and Policy Unit Manager

vi) The Planning and Policy Unit Manager will receive a weekly report from IT Budget and Inventory on all financial and procurement transactions.

CSOSA CREDIT CARD TRANSACTION FORM

Cardholder Name: _____ **Transaction Date:** _____

Vendor Name: _____

Vendor Address: _____

Vendor Phone: _____

Check Type of Business: ☐ *Small*   ☐ *Other Than Small*   ☐ *Disadvantaged*   ☐ *Woman Owned*

Item Description	Quantity	Price	Total

GRAND TOTAL

Requestor: _____   **Expected Delivery Date:** _____
(Last name of the Requestor only)

Item Description: _____
(Limit of 23 characters)

Cost Center: _____   **Project Code:** _____   **DCN:** _____ **O/C:** _____
                                                              Finance use only   Finance use only

Internal Tracking Number: _____
(Optional) (Limit of 6 characters; no dashes or slashes)

Purchase Justification: _____

_____

Operating Plan Manager Signature: _____   **Date:** _____
(Signature of Operating Plan Manager, or designee, controlling the budget charged for the purchase)

Approving Official _____   **Date:** _____
(If necessary)

Office of Financial Mgmt's Approval: _____   **Date:** _____

dholder is responsible for receipt verification of goods/services.